

CHANGES APRIL 1, 2008 THROUGH JANUARY 30, 2009

TITLE 17—COMMODITY AND SECURITIES EXCHANGES

Chapter I—Commodity Futures Trading Commission (Parts 1—199)	
3.10 (c)(4) added.....	54071
10 Authority citation revised.....	63360
10.12 (a)(2), (b) and (d)(1) revised	63360
12.10 (a)(2), (3) and (b) revised.....	63360
12.11 (a) and (c) revised.....	63361
12.106 (c) revised	70275
12.407 (d) revised	70275
30 Order	39226, 60625
30.8 Removed	54072
140 Authority citation revised	79609
140.72 (a) amended.....	79609
140.73 (a) introductory text	79609
143.8 (a) revised.....	57514
190 Policy statement.....	57235
Technical correction.....	65514
Chapter II—Securities and Exchange Commission (Parts 200—399)	
200.1—200.30-18 (Subpart A) Authority citation amended.....	32223
200.11 Revised	32223
200.12 Amended	32223
200.19a Heading revised; introductory text amended; authority citation removed	40152
200.21a (b)(2) amended.....	32224
200.27 Revised	32224
200.27a Removed	32224
200.28 (a) amended.....	32224
200.30-1 (e)(13) revised	17813
(i) amended	40152
200.30-3 (a)(35) removed	17813
Heading revised; introductory text and (a)(12) amended; (a)(58) removed.....	40152
200.30-4 (a)(12) amended.....	40152
200.30-6a Removed.....	32224
200.30-7 (c) redesignated as (d); new (c) redesignated from 200.30-11(e)	69532
200.30-11 (c)(2) amended.....	32224
(a), (b) and (c) redesignated as 200.30-18 (j), (k) and (l); (e) redesignated as 200.30-7(c); section removed.....	69532
200.30-18 (h) introductory text amended	40152
(j) redesignated as (m); new (j), (k) and (l) redesignated from 200.30-11(a), (b) and (c).....	69532
200.80—200.83 (Subpart D) Authority citation revised.....	32224
200.80 (a)(2) introductory text, (c)(2), (d)(1), (2), (4), (7)(i), (e) introductory text, (2), (7)(i), (ii) and (iii) amended; (c)(1) and (d)(6)(ii) revised.....	32224
200.80e Amended	32225
200.83 (c)(3), (7) and (e)(2) amended.....	32225
200.202 (a) amended	32225
200.203 (c)(1)(v) removed	32225
200.204 Amended	32225
200.303 (a) introductory text and (b)(2) amended; (a)(2) revised	32225
200.309 (a)(1) amended; authority citation removed	32226
200.503 Introductory text amended	32226
200.508 (a) amended	32226
200.554 (b) amended	32226
200.670 (c) amended	32226
200.735-1—200.735-18 (Subpart M) Authority citation revised	32226
200.735-3 (a)(3), (b)(3)(i), (6)(i) and (10)(i) amended	32226
200.735-4 (b)(6)(iii)(A) introductory text, (I), (B) and (f) amended	32226
200.735-5 (f)(2) amended	32226
200.735-6 Amended	32226
200.735-11 (c)(2)(v) revised	32226
200.735-15 (b) amended	32227
201 Authority citation revised	32227
201.63 Amended	32227
202 Authority citation revised	32227
202.2 Amended	32227
202.5 (c) amended	32227
202.7 (a) amended	32227
203 Authority citation revised	32227
203.2 Amended	32227
203.7 (a) and (e) amended	32227
209 Authority citation revised	32227
209.0-1 (b) amended	32227
210.2-02T (a) and (b) removed; (c) and (d) redesignated as new (a) and (b); new (a) amended; new (b) revised; eff. 9-2-08 to 6-30-10	38099
210.4-10 (a)(1), (2) and (5) through (17) redesignated as (a)(16), (22), (23), (32), (21), (15), (27),	

CHANGES APRIL 1, 2008 THROUGH JANUARY 30, 2009

TITLE 17 Chapter II—Con.

(13), (9), (29), (30), (1), (12), (7) and (20); (a)(3), (4) and authority citation removed; new (a)(2) through (6), (8), (10), (11), (14), (17), (18), (19), (24), (25), (26), (28), (31) and (c)(8) added; new (a)(13), (16), (22) and (30) revised; eff. 1-1-10.....	2190	232.401 (b)(1)(iii) and (iv) amended.....	4587
211 Interpretive release; eff. 1-1-10.....	2192	239 Technical correction.....	20367
228.308T Note and (c) revised; eff. 9-2-08 to 3-15-09	38099	Authority citation revised	4587
229.102 Amended; eff. 1-1-10	2193	239.15A Form N-1A amended	4587
229.308T Note and (c) revised; eff. 9-2-08 to 6-30-10	38099	239.17b Form N-4 amended	4593
229.407 (d)(3)(i)(C) revised.....	57238	239.18 Form S-11 amended	20517
229.801 (b) and authority citation removed; eff. 1-1-10	2193	239.23 Form N-14 amended	4587
229.802 (b) and authority citation removed; eff. 1-1-10	2193	239.25 Form S-4 amended.....	60089
229.1201—229.1208 (Subpart 229.1200) Added; eff. 1-1-10	2193	239.31 Form F-1 amended.....	58321
230 Technical correction.....	20367	239.33 Form F-3 amended.....	58321
230.146 (c)T added; interim; eff. to 9-25-09.....	3974	239.34 Form F-4 amended	17813, 58322, 60089
230.151A Added; eff. 1-12-11	3175	239.38 Form F-8 amended.....	17813
230.159A (a)(2) amended	4584	239.39 Form F-9 amended.....	17813
230.162 Revised	60087	239.40 Form F-10 amended	17813
230.239T Added; interim; eff. to 9-25-09	3974	239.41 Form F-80 amended	17813
230.405 Amended	58321	239.42 Form F-X amended.....	60089
230.482 (a), (b)(1) and (c) revised	4584	239.800 Form CB amended....	17813, 60094
230.485 (b)(1)(iv) amended	4584	240 Technical correction.....	20782, 22017
230.497 (k)(2)(ii) amended	32227	240.0-11 (d) amended	17813
(a) and (k) revised.....	4584	240.3b-4 (c) introductory text revised; (d) and (e) added; authority citation removed	58323
230.498 Revised	4585	240.10a-3T Added; eff. to 8-1-09	61688
230.800 (h)(1) and (2) revised; (h)(6) and (7) added	60087	240.10b-21 Added	61677
230.802 (a)(2) and (3) revised; (c) removed.....	60088	240.12a-10T Added; interim; eff. to 9-25-09	3975
231 Interpretative releases	60088	240.12h-1 (h)T added; interim; eff. to 9-25-09	3975
232 Technical correction.....	20367	240.12h-7 Added; eff. 5-1-09	3175
232.12 (a) amended.....	32227	240.13a-10 (g)(3) revised.....	58323
232.101 (a)(1)(vi), (vii) and (b)(8) revised; (b)(7) removed.....	60088	240.13d-1 (b)(1)(ii)(G) and (J) revised; (b)(1)(ii)(I) amended; (b)(1)(ii)(K) added; authority citation removed	60089
(a)(1)(iv), (v), (2) introductory text and (i) revised; (a)(3) and (c)(6) amended; (c)(11) removed.....	65525	240.13d-101 Undesignated center heading revised; section amended	17813
232.201 (a) introductory text revised	65525	240.13d-102 Amended	17813, 60089
232.301 Revised.....	33004, 33299, 54944	240.13e-3 (g)(3) and authority citation removed	17813
232.304 Amended.....	4587	(a)(3)(ii)(A) revised.....	58323
		(g)(6) revised	60090
		240.13e-4 (a)(3), (e)(2) and Instructions amended	17814
		240.13e-14 (h)(8)(i), (i) introductory text, (1)(ii) and (2)(ii) revised; (i)(2)(v) and (vi) added; instructions amended	60090
		240.13e-102 Amended	17814
		240.14a-2 (a)(5) removed	17814
		240.14a-3 (a)(3)(i) revised	17814
		240.14a-14 (b) amended	17814
		240.14a-16 (m) revised	17814

CHANGES APRIL 1, 2008 THROUGH JANUARY 30, 2009

240.14b-1 (d)(5)(A) revised	17814	240.17Ad-21T (c) and (e)(2) amended	32228
240.14b-2 (d)(5)(iii)(A) revised	17814	241 Interpretive releases	40152, 45874, 60094, 61706
240.14d-1 Instructions amended	17814	242.203 (b)(3)(iii) and (v) revised	61706
(a), (c)(1), (d) introductory text, (1)(ii), (2)(ii) and (iv) re- vised; (d)(2)(vi) through (ix) added; instructions amended	60091	242.204T Added; interim.....	61730
240.14d-3 (a)(3) introductory text revised	17814	247.701 (b) revised	20780
240.14d-9 (c)(1) amended	17814	247.721 (a)(6) and (7) redesignated as (a)(5) and (6); (c)(2) revised	20780
240.14d-11 Introductory text re- vised	60092	247.723 (e)(3) revised.....	20780
240.14d-100 Instruction amended	17814	247.741 (a)(1)(A) and (B) redesi- gnated as (a)(1)(i) and (ii)	20780
Amended.....	60093	247.775 (b)(1)(i) revised	20780
240.14d-101 Instruction amended	17814	249 Technical correction.....	20782, 22017
240.14d-102 Amended.....	17814	Authority citation revised	38099
240.14d-103 Amended.....	17814	249.220f Form 20-F amended; eff. 9-2-08 to 6-30-10	38099
240.14e-1 (e) revised.....	17814	Form 20-F amended.....	58324
240.14e-5 (b)(9)(v), (10)(v), (c)(6) and (7) amended; (b)(11), (12), (c)(8) and (9) added	60093	Form 20-F amended; eff. 1-1-10	2196
240.15b7-3T (c) and (e)(2) amend- ed.....	32227	249.240f Form 40-F amended; eff. 9-2-08 to 6-30-10	38099
240.15c2-12 (b)(4)(ii), (5)(i) intro- ductory text, (A), (B), (d)(2)(ii), (f)(3) and (9) re- vised; (b)(5)(i)(C) introduc- tory text, (D) and (ii)(C) amended; (b)(5)(iv) added; eff. 7-1-09	76132	249.308a Form 10-Q amended; eff. 9-2-08 to 6-30-10	38099
240.15c3-1 (a)(6)(iv), (v), (c)(2)(x)(C)(I), (12) and (e)(1)(iv) amended.....	32227	249.308b Form 10-QSB amended; eff. 9-2-08 to 10-31-08	38100
240.15c3-1d (c)(6)(i) and (ii) amended; authority citation removed.....	32228	249.310 Form 10-K amended; eff. 9-2-08 to 6-30-10	38100
240.15d-2 (a) revised; authority citation removed	58323	249.310b Form 10-KSB amended; eff. 9-2-08 to 3-15-09	38100
240.15d-10 (g)(3) revised.....	58324	249.322 (a) amended	32228
240.16a-1 (a)(1)(vii), (x) and (xi) revised; (a)(1)(ix) amended.....	60093	249.326T Added; eff. to 8-1-09	61689
240.17a-3 (b)(2) amended	32228	249.330 Form N-SAR amended	23
240.17a-5 (a)(3), (b)(1), (c)(1) in- introductory text, (2)(iii), (iv), (d)(1)(i), (6), (e)(4) intro- ductory text, (f)(2)(i), (4) intro- ductory text and (n)(1) amended	32228	249.480 Form CB amended	60094
240.17a-7 (b)(1) and (2) amended	32228	249b.100 Amended	32228
240.17a-11 (g) amended	32228	249b.102 Amended	32228
240.17Ad-2 (h)(1) amended; au- thority citation removed	32228	249b.200 Amended	32228
		260.0-5 (a) amended	32228
		260.4d-11T Added; interim; eff. to 9-25-09	3975
		270 Authority citation amended	71923
		270.0-2 (b) amended; (d) revised; (g) and authority citation re- moved; (h) redesignated as new (g)	65525
		270.2a-46 Revised	29051
		270.17f-4 (c)(1) amended	32228
		270.22e-3T Added; interim; eff. to 10-18-09	71923
		271 Interpretive releases	45874
		274.0-1 (b) amended	32228
		274.11A Form N-1A amended	4587
		274.11c Form N-4 amended	4593

CHANGES APRIL 1, 2008 THROUGH JANUARY 30, 2009

TITLE 17 Chapter II—Con.

274.101 Form N-SAR amended.....	23333
274.128 Form N-CSR amended	23333
275.204-2 (j)(3)(i) and (ii) amended	32229
279.0-1 (b) amended.....	32229

Proposed Rules:

1	54097, 67435
4	71968
15.....	75888
16.....	75888
17.....	75888
18.....	75888
19.....	75888
21.....	75888
36.....	75888
38	54097, 67435
	3475
40.....	44939, 51961, 75888
41	44939, 51961
145	44939, 51961
150	32260, 32261
200—301 (Ch. II)	4357
200.....	80313
210	39526, 70816
229.....	32794, 39526, 40106, 70816
230.....	26876, 32794, 35442, 37752, 40106, 45646, 61753, 70816
232.....	26876, 32794, 35442, 45646
239.....	26876, 32794, 35442, 40106, 45646
240.....	26876, 32794, 36212, 37752, 39182, 40088, 40106, 46138, 61753, 70816
242	40088, 40201
244.....	70816
249.....	26876, 32794, 39526, 40088, 70816
249b.....	36212
270	35442, 40124
274	35442, 45646
275	40124, 45646

TITLE 18—CONSERVATION OF POWER AND WATER RESOURCES**Chapter I—Federal Energy Regulatory Commission, Department of Energy (Parts 1—399)**

Chapter I Forms review	79316
1b.19 Revised	29433
33.1 (c)(12) revised; (c)(16) added	43072
35 Order	17246, 65526
35.1 Heading revised; (a) through (d) and (g) amended.....	57530

(b) and (c) amended	57533
35.2 (c), (d) and (e) redesignated as (d), (e) and (f); new (c) added; new (d) and (f) amended; (b) and new (e) revised.....	57530
35.3 (a) revised; (b) amended	57531
35.4 Amended.....	57531, 57533
35.6 Amended.....	57531, 57533
35.7 Revised.....	57531
35.8 Heading revised; (a) designation and heading and (b) removed.....	57531
35.9 Revised.....	57531
35.10 Heading, (b) and (c) revised; (a) amended	57532
35.10a (b) amended	57532
35.11 Amended.....	57532, 57533
35.12 Heading revised; (a), (b)(2)(i), (ii), (4) and (5)(ii) amended	57532
(a) amended.....	57533
35.13 Heading and (a) introductory text revised; (a)(1), (2)(iii), (iv), (A), (B), (b)(1) through (6), (c) introductory text heading, (1) introductory text, (i), (ii)(A), (B), (2), (3), (d)(1)(ii) introductory text, (3)(i), (ii)(A), (B), (5), (e)(1)(i) and (f) amended; (b)(8) removed.....	57532
(a), (1), (2)(iii), (b)(1) and (c)(1) amended	57533
(b)(3) correctly amended	63886
35.14 (a) introductory text and (7) amended	57532
(a) introductory text correctly amended	63886
35.15 (a) revised.....	57532
35.16 Amended.....	57533
35.17 Heading revised; (a), (b) and (c) redesignated as (c), (d) and (e); new (a) and (b) added; new (c), (d) and (e) amended	57533
35.18 (a) amended.....	57533
35.21 Footnote 5 amended	57533
35.22 Heading, (a), (f) heading and (1) amended	57533
35.23 (b)(1)(ii) amended	57533
35.28 (b)(4) through (8) and (g) added	64167
35.36 (a)(4) and (6) revised; (a)(9) added	25912
(a)(9) revised	79627
35.37 (e)(3) revised	79627